

PTO/SB/05 (08-03)

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

R/C-5

First Inventor

CROWLEY, R.J.

Title

Optical Antenna Array

Express Mail Label No.

ER461089930 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 16]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Sheets 7]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation☒ Divisional☐ Continuation-in-part (CIP)of prior application No. 10/646,945

Prior application information:

Examiner CLINGER, J.Art Unit: 2821

For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number: \_\_\_\_\_OR ☒ Correspondence address below

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Name (Print/Type)	<u>Donald N. Helgren</u>	Registration No. (Attorney/Agent)	<u>27050</u>
Signature	<u>[Signature]</u>	Date	<u>27 Feb 2004</u>

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

The PTO did not receive the following listed item(s) 3 sheets of Drawings not 4 pages.

17439 U.S. PTO  
022704

22387 U.S. PTO  
10/789390

022704

**PATENT**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**In re Application of: CROWLEY, R.J.**

**Serial No.:**

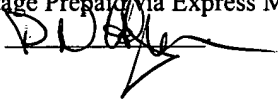
**Filed:**

**For: OPTICAL ANTENNA ARRAY FOR HARMONIC  
GENERATION, MIXING AND SIGNAL AMPLIFICATION**

**Examiner: CLINGER, J.C.**

**Art Unit: 2821**

**Att'y. Docket No.: RJC-5**

I hereby certify that this document and all documents enclosed herewith are being sent to the Commissioner for Patents, Washington, DC 20231, Postage Prepaid via Express Mail on 27 February 2004, Cert # ER 461089930 US, name: D.N. Halgren, signed: 

Hon Commissioner for Patents  
Washington, DC 20231

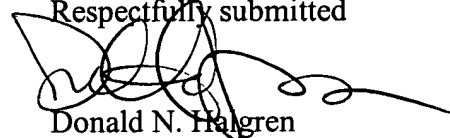
**Preliminary Amendment for Continuing Application**

Dear Sir or Madam:

After the title in the present Continuing Application, please add:

--This Application is a Divisional Application of co-pending Application Serial No. 10/646,945 filed 22 August 2003 which is a Divisional Application of co-pending Application Serial No. 09/901,309 filed 07/09/2001, now U.S. Patent -----, issued 2 March 2004, which is a Divisional Application of co-pending Application No. 09/523,626, filed March 13, 2000, now U.S. Patent 6,258,401, which is a Divisional Application of Application No. 08/988,801, now U.S. Patent 6,038,060 which is based upon Provisional Application 60/036,085 filed Jan. 16, 1997, all incorporated herein by reference--.

Respectfully submitted



Donald N. Halgren

Applicant's rep.

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